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| <b>TO:</b><br><b>Mail Stop 8</b><br><b>Director of the U.S. Patent and Trademark Office</b><br><b>P.O. Box 1450</b><br><b>Alexandria, VA 22313-1450</b> | <b>REPORT ON THE</b><br><b>FILING OR DETERMINATION OF AN</b><br><b>ACTION REGARDING A PATENT OR</b><br><b>TRADEMARK</b> |
|---|---|

In Compliance with 35 U.S.C. § 290 and/or 15 U.S.C. § 1116 you are hereby advised that a court action has been filed in the U.S. District Court Central District of California on the following ☒ Patents or ☒ Trademarks:

|  |                                    |   |
|--|------------------------------------|---|
| <b>DOCKET NO.</b><br>CV0805371AHMJTLx                                | <b>DATE FILED</b><br>8/15/2008     | <b>U.S. DISTRICT COURT</b><br>Central District of California              |
| <b>PLAINTIFF</b><br>PRINCIPAL FINANCIAL SERVICES, INC., etc., et al. |                                    | <b>DEFENDANT</b><br>AMERICAN PRINCIPLE BANK,<br>A California Corporation. |
| <b>PATENT OR TRADEMARK NO.</b>                                       | <b>DATE OF PATENT OR TRADEMARK</b> | <b>HOLDER OF PATENT OR TRADEMARK</b>                                      |
| 1 <b>36 + 25</b>   |                                    | See Addendum No. 1  |
| 2  |                                    |   |
| 3  |                                    |   |
| 4  |                                    |   |
| 5  |                                    |   |

In the above—entitled case, the following patent(s)/ trademark(s) have been included:

| <b>DATE INCLUDED</b>           | <b>INCLUDED BY</b>                            |  |  |  |
|--------------------------------|---|--|--|--|
|                                | <input checked="" type="checkbox"/> Amendment | <input checked="" type="checkbox"/> Answer | <input checked="" type="checkbox"/> Cross Bill | <input checked="" type="checkbox"/> Other Pleading |
| <b>PATENT OR TRADEMARK NO.</b> | <b>DATE OF PATENT OR TRADEMARK</b>            | <b>HOLDER OF PATENT OR TRADEMARK</b>       |  |  |
| 1                              |   |  |  |  |
| 2                              |   |  |  |  |
| 3                              |   |  |  |  |
| 4                              |   |  |  |  |
| 5                              |   |  |  |  |

In the above—entitled case, the following decision has been rendered or judgement issued:

|  |
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| <b>DECISION/JUDGEMENT</b><br><br>None to date. |
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|              |                          |             |
|--------------|--------------------------|-------------|
| <b>CLERK</b> | <b>(BY) DEPUTY CLERK</b> | <b>DATE</b> |
|--------------|--------------------------|-------------|

Copy 1—Upon initiation of action, mail this copy to Director    Copy 3—Upon termination of action, mail this copy to Director  
 Copy 2—Upon filing document adding patent(s), mail this copy to Director    Copy 4—Case file copy

**Principal Financial Services, Inc.  
and Principal Bank**

**Case No.: CV08-05371 AHM JTLx**

**v.  
American Principle Bank**

**ADDENDUM NO. 1**

**TO REPORT ON THE FILING OR DETERMINATION  
OF AN ACTION REGARDING A PATENT OR TRADEMARK**

| <b>Patent or<br/>Trademark No.</b> | <b>Date of Patent or<br/>Trademark</b> | <b>Holder of Patent or Trademark</b> |
|------------------------------------|--|--------------------------------------|
| 3,324,583                          | 10/30/07                               | Principal Financial Services, Inc.   |
| 2,843,297                          | 05/18/04                               | Principal Financial Services, Inc.   |
| 3,095,382                          | 05/23/06                               | Principal Financial Services, Inc.   |
| 1,740,181                          | 12/12/92                               | Principal Financial Services, Inc.   |
| 1,740,172                          | 12/15/92                               | Principal Financial Services, Inc.   |
| 1,698,013                          | 06/30/92                               | Principal Financial Services, Inc.   |
| 2,610,098                          | 08/20/02                               | Principal Financial Services, Inc.   |
| 1,562,541                          | 10/24/89                               | Principal Financial Services, Inc.   |
| 1,508,544                          | 10/11/88                               | Principal Financial Services, Inc.   |
| 1,427,769                          | 02/03/87                               | Principal Financial Services, Inc.   |
| 1,504,246                          | 09/13/88                               | Principal Financial Services, Inc.   |
| 1,508,542                          | 10/11/88                               | Principal Financial Services, Inc.   |
| 1,530,023                          | 03/14/89                               | Principal Financial Services, Inc.   |
| 1,469,375                          | 12/15/87                               | Principal Financial Services, Inc.   |
| 1,508,543                          | 10/11/88                               | Principal Financial Services, Inc.   |
| 1,530,022                          | 03/14/89                               | Principal Financial Services, Inc.   |
| 1,531,199                          | 03/21/89                               | Principal Financial Services, Inc.   |
| 1,502,424                          | 08/30/88                               | Principal Financial Services, Inc.   |
| 1,561,335                          | 10/17/89                               | Principal Financial Services, Inc.   |
| 2,322,817                          | 02/29/00                               | Principal Financial Services, Inc.   |
| 2,360,553                          | 06/20/00                               | Principal Financial Services, Inc.   |
| 2,564,427                          | 04/23/02                               | Principal Financial Services, Inc.   |
| 2,628,202                          | 10/01/02                               | Principal Financial Services, Inc.   |
| 2,656,972                          | 12/03/02                               | Principal Financial Services, Inc.   |
| 2,677,074                          | 01/21/03                               | Principal Financial Services, Inc.   |
| 3,015,302                          | 11/15/05                               | Principal Financial Services, Inc.   |
| 2,928,193                          | 02/22/05                               | Principal Financial Services, Inc.   |
| 3,053,544                          | 01/31/06                               | Principal Financial Services, Inc.   |
| 3,107,136                          | 06/20/06                               | Principal Financial Services, Inc.   |
| 3,174,382                          | 11/21/06                               | Principal Financial Services, Inc.   |
| 3,400,594                          | 03/25/08                               | Principal Financial Services, Inc.   |
| 3,297,647                          | 09/25/07                               | Principal Financial Services, Inc.   |

| Patent or<br>Trademark No. | Date of Patent or<br>Trademark | Holder of Patent or Trademark      |
|----------------------------|--------------------------------|------------------------------------|
| 3,461,024                  | 07/08/08                       | Principal Financial Services, Inc. |
| 3,461,025                  | 07/08/08                       | Principal Financial Services, Inc. |
| 3,368,181                  | 01/15/08                       | Principal Financial Services, Inc. |
| 3,368,180                  | 01/15/08                       | Principal Financial Services, Inc. |